

## A new system of registration

# **How to complete the registered manager application form to register under the Health and Social Care Act 2008**

Guidance for transition registered manager applicants in primary dental care providers and private ambulance providers

November 2010

**This guidance accompanies the manual application for registered managers of primary dental care providers and private ambulance providers who are required to register for the first time under the Health and Social Care Act 2008.**

It applies to both the electronic 'Word' format and the paper booklet format.

There is separate guidance on our website for completing the provider application form.

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All health and adult social care providers who provide regulated activities will be required by law to be registered with us. Regulated activities are defined in the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010.

If you are an organisation, a partnership or an individual who is not in day-to-day charge of the service, you will need to submit a registered manager application.

It only applies to registered managers for providers who are already providing, or are intending to provide, services which are defined as regulated activities under the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 and must be registered by 1 April 2011.

**It is an offence under section 10 of the Health and Social Care Act 2008 to carry out a regulated activity without registering with the Care Quality Commission. You could be prosecuted, and it could lead to your application being refused.**

Please note that this is a guide to the registered manager application form only and not to the wider system of registration. Guidance on the wider system can be found on our website.

### **Completing the registered manager form**

The registered manager application form is not available as a webform. Instead, please download the form from our website and email it back to us. If you are not able to do this, please call us on 03000 616161 or email us at [HSCATranche3Registrations@cqc.org.uk](mailto:HSCATranche3Registrations@cqc.org.uk).

When completing the form, you should refer to the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 and our *Guidance about compliance: Essential standards of quality and safety*. Please see our website for further information.

You must complete every field except those marked with an asterisk (\*). These fields are optional but if the information requested is available, please provide it. We will

reject an incomplete application and return it for resubmission. Further information on resubmissions can be found on our website. We are entitled to ask for more information while considering your application. **Each applicant will be contacted for an interview, which will be conducted over the phone or face-to-face.** Interviews will be held before the Notice of Decision is issued.

**Please ensure that your completed application and declaration form does not contain any confidential personal information (about people who use services or staff).**

Guidance on registered managers	
Do I need a registered manager?	<ul style="list-style-type: none"> <li>• Each provider must be registered. In addition, where the provider is not themselves in charge of the day-to-day running of the service, a manager must also register. The person undertaking this registered manager role is accountable for the day-to-day running of the regulated activities of the service and therefore should be an individual who has the capability and authority to do so.</li> </ul>
Which providers are required to have a registered manager in place?	<ul style="list-style-type: none"> <li>• Individual providers completing this application are not required to appoint a separate registered manager, except where the individual will not be in full-time day-to-day charge of carrying on the regulated activity, or is not fit to manage the carrying on of the activity.</li> <li>• If you are a partnership or an organisation, you are required to have a registered manager in place. If you are a partnership, the registered manager may be a partner if they are in day-to-day charge.</li> <li>• Every registered manager applicant must complete a registered manager application form at the same time as the provider application.</li> <li>• Registered managers can be registered for more than one regulated activity and for more than one location.</li> </ul>
If a manager is applying to manage locations for two providers or multiple locations for one provider, will CQC look at this differently?	<ul style="list-style-type: none"> <li>• Yes. We have a duty to look at the locations in question to determine whether it is possible for one person to practically be in full-time day-to day-charge of both or all locations, across one or more providers.</li> <li>• Areas to be considered are:               <ul style="list-style-type: none"> <li>○ Geographical distance between locations</li> <li>○ Complexity of the needs of the people who use service</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Supporting management arrangements</li> <li>○ Time spent at each location</li> <li>○ Experience and abilities of the applicant</li> <li>○ Details of resources i.e. senior staff at each location</li> <li>○ Details of deputising arrangements</li> <li>○ Provider support mechanisms</li> <li>○ Any history of poor performance at an establishment if currently registered would need to be considered</li> <li>○ Managers' understanding of their legal obligation to comply with the regulations and accountability in the role.</li> </ul> <ul style="list-style-type: none"> <li>● These criteria would be explored at the registered manager interview. We may decide that it is not acceptable to have one registered manager for more than one location, based on the criteria above.</li> </ul>
Where can I find more information about applying to be a registered manager under the Health and Social Care Act?	<ul style="list-style-type: none"> <li>● You should refer to our <i>Guidance about compliance: Essential standards of quality and safety</i> to understand the requirements for a registered manager as stated in the regulations.</li> </ul>

<b>Completing the registered manager form</b>	
Details about the applicant	<ul style="list-style-type: none"> <li>● Where two or more managers are equally accountable for managing the service, they will both have to complete an application form and provide all the necessary documentation.</li> <li>● A registered manager may hold this role across more than one provider, so if the applicant is already a registered manager for another provider, details for that provider should be entered here. The provider and location ID numbers can be found on the provider's certificate of registration.</li> </ul>
Regulated activities	<ul style="list-style-type: none"> <li>● These are specific activities within health or social care, for which providers must be registered with us to carry on. The registered manager application <b>cannot</b> include any regulated activities that the provider has not applied to be registered for. If additional regulated activities are added, and do not match with the provider's application, the registered manager application will be rejected.</li> </ul>

	<ul style="list-style-type: none"> <li>• Details of each regulated activity can be found in Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 (beginning on page 246 of the <i>Guidance about compliance: Essential standards of quality and safety</i>) and further explanation can be found in the document <i>Scope of registration</i> available on our website.</li> </ul> <p>For <b>primary dental care providers</b>, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> <li>• Treatment of disease, disorder and injury</li> <li>• Surgical procedures</li> <li>• Diagnostic procedures.</li> </ul> <p>For <b>private ambulance providers</b>, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> <li>• Transport services, triage and medical advice provided remotely (this will cover transport services related to persons who require treatment)</li> <li>• Treatment of disease, disorder and injury (this will cover those services in which treatment by a healthcare professional is undertaken).</li> </ul>
<p>Personal background</p>	<ul style="list-style-type: none"> <li>• You need to apply for an enhanced CRB disclosure from the Care Quality Commission before you submit your application, which we will countersign. If you are a partner in a partnership (i.e. are also the provider) and already have a PCT-countersigned enhanced CRB check, we will not ask you to produce another. If you are not the provider, then we require a CQC countersigned enhanced CRB check.</li> <li>• When applying for registration and after registration has been agreed, a registered manager must have the information and documents specified in Schedule 3 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 available should we ask for them.</li> <li>• We will only ask for some of the documentation to support the application. However we may ask for further information if we have any reasons to question the validity of the application. We will ask to see proof of identity when the registered manager applicant is interviewed and retain a copy for our records.</li> </ul>
<p>Previous involvement in registered establishments or agencies</p>	<ul style="list-style-type: none"> <li>• If you ticked 'yes' to any of the boxes in this section, please provide details including dates registered, provider, reason for leaving and management or job responsibilities undertaken.</li> </ul>

Previous involvement in the management of a relevant service	<ul style="list-style-type: none"> <li>• If you answered 'yes' to this section, please provide details including dates registered, provider, reason for leaving and management or job responsibilities undertaken.</li> </ul>
Refusal or cancellation of a relevant service	<ul style="list-style-type: none"> <li>• Please tick 'yes' if you have ever had an application to register under the Health and Social Care Act 2008 refused, or have you had an existing registration cancelled. Please provide details here regarding why the cancellation or refusal was made.</li> </ul>
Skills and competence to manage the regulated activities you are applying to be registered for	<ul style="list-style-type: none"> <li>• When completing this section, you may wish to include the following: <ul style="list-style-type: none"> <li>○ Current job role within the service</li> <li>○ What the manager will do to check that the practice continues to meet the essential standards</li> <li>○ How they ensure that the practice provides a safe service for children and vulnerable people.</li> </ul> </li> <li>• The assessor may ask specific questions about this section in the registered manager interview.</li> </ul>
Managing more than one location	<ul style="list-style-type: none"> <li>• If you are intending to manage more than one location, you will need to outline: <ul style="list-style-type: none"> <li>○ Supporting management arrangements</li> <li>○ Time spent at each location by the applicant</li> <li>○ Details of resources i.e. senior staff at each location</li> <li>○ Details of deputising arrangements.</li> </ul> </li> <li>• These areas should also be considered for the subsequent section considering how a job share can be managed.</li> </ul>
Declaration	<ul style="list-style-type: none"> <li>• By signing the declaration form, you are confirming that: <ul style="list-style-type: none"> <li>○ The information contained within the application is accurate and correct (completed by the provider) for the location for which you are the registered manager. You may be registered for more than one location. Please ensure this is on your declaration form.</li> <li>○ Where you are in a job share position, please ensure that both registered managers complete separate application forms identifying the locations this is applicable to.</li> <li>○ The information in the application is true and accurate.</li> <li>○ You understand that to knowingly make a false declaration could lead to refusal of the application.</li> <li>○ You agree to comply with the Health and Social Care Act</li> </ul> </li> </ul>

	<p>2008 and associated regulations.</p> <ul style="list-style-type: none"> <li>○ You understand that non-compliance with the relevant legislation could lead to compliance conditions being applied to your registration or the refusal of the application.</li> </ul>
<p>Submitting the registered manager application form</p>	<ul style="list-style-type: none"> <li>● Please email the Word document back to us at: <b>HSCATranche3Registrations@cqc.org.uk</b></li> <li>● If you have completed a paper version of the form, please return it by post to: <p style="margin-left: 20px;">CQC HSCA Dentists and Private ambulances Citygate Gallowgate Newcastle upon Tyne NE1 4PA</p> </li> </ul>
<p>What will happen next?</p>	<ul style="list-style-type: none"> <li>● We will interview all applicants to assess their fitness to manage the regulated activities they have applied for. We will contact you to arrange a convenient time for the interview.</li> <li>● The interview can be by telephone or face-to-face and will include questions about: <ul style="list-style-type: none"> <li>○ Your job role within the practice.</li> <li>○ Your knowledge of the essential standards of quality and safety.</li> <li>○ How you will ensure that everyone in the practice meets the standards at all times.</li> <li>○ Your understanding of the legal responsibilities of a registered manager, including what notifications you must send to CQC.</li> </ul> </li> <li>● We will use the information that we collect from the interview, your application form and the Criminal Records Bureau to make a decision about your application.</li> <li>● We will send you and the registered service provider a notice of our decision.</li> </ul>

<p>What can I do to prepare for my interview and my role as a registered manager?</p>	<ul style="list-style-type: none"> <li>• You should read and become familiar with:             <ol style="list-style-type: none"> <li>1. Guidance about compliance: Essential standards of quality and safety</li> <li>2. The Health and Social Care Act 2008 (Regulated Activities) Regulations 2010</li> <li>3. The Care Quality Commission (Registration) Regulations 2009</li> <li>4. The Health and Social Care Act 2008 (especially Part 1).</li> </ol> </li> <li>• These documents are on our website and we recently also sent each provider a copy of the <i>Essential standards of quality and safety</i>. It contains the two sets of regulations at the back.</li> <li>• Make sure that you are familiar with your Statement of Purpose, even if you didn't write it.</li> <li>• Give some thought to how you will describe what you do to involve patients in the way that the practice is run and what you can tell the interviewer that shows how you recognise and promote equality and diversity, and respect patients' human rights in your practice.</li> </ul>
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